

(Rev. 07/10/2015)

# **Streamlined Request for Qualifications**

**(Electronic Submission Required)**

Traffic Signal Operations



Project No. S-ST99(202)  
Statewide Traffic Signal Support

Addendum 1  
July 22~~8~~, 2015

**UTAH DEPARTMENT OF TRANSPORTATION  
Streamlined Request for Qualifications  
Project No. S-ST99(202) & Statewide Traffic Signal Support**

**Summary Sheet**

1. **Project Number:** S-ST99(202)
2. **Location:** Statewide Traffic Signal Support
3. **ePM PIN No.:** 11023
4. **Requested Services:** Traffic Signal Operations
5. **Source(s) of Funding:** State
6. **UDOT Contract Administrator:** ~~Raeleen Sanchez~~ Devon Tonks  
Contract Administrator  
Utah Department of Transportation  
Consultant Services  
Box 148490  
4501 South 2700 West  
Salt Lake City, Utah 84129-5998  
801/965-4184 ~~3~~  
[dtonksraeleen@utah.gov](mailto:dtonksraeleen@utah.gov)
7. **UDOT Project Management:** Matt Luker  
Statewide Signal Engineer  
Utah Department of Transportation  
Traffic Operations Center  
2060 South 2760 West  
Salt Lake City, Utah  
801/887-3627  
[mluker@utah.gov](mailto:mluker@utah.gov)
9. **Communications:** Based on revisions to Utah Code 63G-6a-1503(3), UDOT has an official process for communication regarding RFQs after advertisement or posting of RFQs. Consultants may not contact or communicate regarding this RFQ with any member or potential member of a Selection Team except through the following official RFQ communication process. Consultants may contact the UDOT Contract Administrator to schedule appointments for project or scope of work discussions with the UDOT Project Manager (and Local Government Project Manager) regarding this project. Consultants may only communicate through these official designated appointments. A date has been designated for appointments for these discussions, see the Selection Schedule below.  
  
Consultants may still contact the UDOT Contract Administrator or other Consultant Services staff regarding the selection process.

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10. **Streamlined Statement of Qualifications (SOQ) Deadline:** See the Selection Schedule on Page 4

Submit one electronic PDF file of the SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to **Raeleen Sanchez** **Devon Tonks** by email at [dtonksraeleen@utah.gov](mailto:dtonksraeleen@utah.gov) prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

**SOQs will not be accepted after the 11:00 AM deadline**

11. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 21. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 29.
12. **Type of SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 12.

If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

13. **Optional Oral Interviews:** Most RFQ selections will be based on the SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**
14. **Multiple Award:** UDOT may select two firms to provide the services described in Appendix C *Scope of Work* on Page 21. Work will be assigned fairly equally by project type on separate corridors. However, work may be assigned based on Consultant performance and availability. In the event one firm reviews any plans on a specific signal, the operation work will be completed by the other firm, to address any real or perceived conflict of interest.
15. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.
16. **Project Completion:** Approximately **twelve (12)** months from Notice to Proceed. The selected consultant may be retained for an additional four one-year modifications to the contract, depending on consultant performance, funding and need.
17. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

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18. **Updates to the UDOT RFQ Boilerplate:** Please note changes in this RFQ in regards to Conflict of Interest, Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, Appendix B *Proposed Key Personnel to Be Used on UDOT Project* requirements. Read and review each section carefully to ensure proposals meet the requirements.

**Consultant Selection Schedule**

<b>Date</b>	<b>Day</b>	<b>Action</b>
7/13/2015	Monday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
<b>7/14/2015</b>	<b>Tuesday</b>	<b>Deadline for formal communication requests (6:30 PM)</b>
<b>7/15/2015</b>	<b>Wednesday</b>	<b>Discussion with the UDOT PM (AM hours)</b>
<b>7/28/2015</b>	<b>Tuesday</b>	<b>SOQs are due electronically by 11:00 AM.</b>
8/4/2015	Tuesday	RFQ Selection Team Meeting
8/13/2015	Thursday	Potential Consultant Selection Interviews
8/13/2015	Thursday	Consultant Selection
8/19/2015	Wednesday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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**Appendix B:** *Proposed Key Personnel to Be Used on UDOT Project*

The Form and an example of the completed form, along with further descriptions of the column headings are available at [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).....20

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**Acceptance and Completion Criteria**

**Overview:**

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 18).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 29. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improves the project.

**DO NOT** include any reference to Consultant costs in the SOQ. Any SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

**Project Dates:**

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

**Required Percentage of Work for Prime Consultant:**

The Consultant must perform work valued at not less than **50%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

**Required Completion and Acceptance Criteria:**

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

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Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

Prime Consultants cannot propose employees who are employed by another Consultant firm. **If such employees are listed in two SOQs, both Consultants' SOQs will be disqualified and will not be evaluated by the UDOT Selection Team.** This requirement applies to the use of individual employees and not to sub-consultant firms/employees. Sub-consultant firms/employees may be included on more than one proposing team, however individuals may only interview with one team.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in SOQs is as follows:

- If a firm lists a former UDOT employee on the SOQ who officially left UDOT employment prior to the submission date of the SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.



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Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project Form*, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Streamlined SOQ Contents:

The SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Conditions of Proposal:

All costs related to the preparation of the SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:

SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all SOQs. The SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the SOQ will be disclosed and that, unless the Consultant withdraws the SOQ, it will be disclosed. If the Consultant withdraws their SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Consultants are required to have an independent audit by a CPA firm for this RFQ. Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

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The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

**Audits:**

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable, and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

**Insurance Certificates:**

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found within the Consultant Services Manual of Instructions from the UDOT website [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

**Health Reform – Health Insurance Coverage in State Contracts Requirements:**

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining an SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

**Subscription to the UDOT Consultant Services Update Service:**

UDOT recommends Consultants interested in proposing an SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site [www.udot.utah.gov/go/subscriptionlist](http://www.udot.utah.gov/go/subscriptionlist).

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**If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the update service.**

Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. **This requirement does not apply to SOQs.** For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or [ghettrick@utah.gov](mailto:ghettrick@utah.gov).

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their SOQs.

Right to Cancel:

UDOT reserves the right to cancel the RFQ at any time when it is in UDOT's best interest. UDOT also reserves the right to accept or reject any and all SOQs submitted in response to the RFQ.

Conflict of Interest:

UDOT expects consultants to act with integrity and professional ethics. When there is a potential conflict of interest, consultants are required to either not submit for the project or disclose the potential conflict to the Consultant Services Manager prior to submitting a proposal. The Consultant Services Manager will coordinate with the UDOT Conflict of Interest Review Team for a determination by UDOT. For additional information, please reference the UDOT Consultant Services Manual of Instruction (MOI). Download the MOI from [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

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## **Appendix A**

### **Guidelines for Preparing Streamlined Statement of Qualifications**

**Introduction:**

These guidelines were developed to standardize the preparation of an SOQ by Consultants for engineering services on a UDOT project. Submitting an SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the SOQ prepared by Consultants and submitted to UDOT. Preparing an SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

**Electronic Submission:**

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all SOQ submission to be received solely by electronic means.

**Streamlined SOQ Sections:**

**The SOQ should contain the following sections in the order listed:**

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

**Streamlined SOQ Evaluation Criteria:**

SOQ evaluation criteria are listed below in red.

1. **Cover Page**

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

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Cover Page	
Date	
Streamlined RFQ Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Acknowledgement	
<p><i>I understand the acceptance and completion criteria, submittal, financial screening requirements, contract selection types and contract caps. My firm shall comply with all state and federal contracting requirements applicable to the project. I understand UDOT policies, procedures and processes may change during the duration of the project and shall comply with any changes required by UDOT. I have fully and accurately disclosed any debarment, license issues, and/or investigations being performed by any governmental entity. Employees listed on the staffing plan are current bona fide employees of the firm.</i></p> <p><i>As authorized to sign for my organization, I certify the content of this Statement of Qualification to be true, accurate and all matters fully disclosed as requested in the Request for Qualifications. I understand any misrepresentations or failure to disclose matters in the Statement of Qualifications is immediate grounds for disqualification.</i></p>	
Signature	
Name	
Title	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. **SOQs will be**

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**considered non-responsive and will be disqualified if the Cover Page is not attached to the SOQ; if the Acknowledgement is not included on the Cover Page; and/or if there is additional information included on the Cover Page.**

**No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.**

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.
- Project team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms)).
  - Describe the qualifications, experience, and availability of key personnel on your proposed project team. Correlate the qualifications and past experience with the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. (NOTE: Do not include percentages of availability as this may be misinterpreted as a reference to cost.)
  - Provide a spreadsheet list of projects **completed** by key team members during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).) Note: Columns may be combined in order to meet the font size and margin requirements under *Streamlined SOQ Format Requirements* on Page 15.
    - Name of Project Manager / Key Team member(s)
    - Year
    - Type of Project
    - Project Name
    - Project Location
    - Project Description
    - Construction Estimate Cost - \$Million (If construction costs are not applicable, insert "NA")
    - Services Performed / Specific Project Role
    - Client
    - Reference Contact and Telephone Number

A maximum of **50** points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
  - Describe any unique qualifications your firm has to perform this type of work.
  - Describe your firm's internal quality and cost control procedures.

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- Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*
- Identify the location of the main office of the proposing firm and the logistics relating to how the project team will provide the services requested.
- Provide an analysis of the project team firms' current workload
- Describe the overall performance record of the proposed project team firms.

A maximum of 10 points is available for this section.

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.

- Describe the course of action proposed to meet the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. Be realistic, clear and concise.
- Identify key project milestones.
- Identify potential impacts, impediments, conflicts or potential mitigation.

A maximum of 40 points is available for this section.

5. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

**The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.**

Streamlined SOQ Format Requirements:

It is very important SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the SOQ.

**One-point penalty deductions:**

1. **8½ x 11 Size Pages Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.
2. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.



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3. **Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point.
4. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
5. **Page Headers/Footers are required** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
6. **Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).
7. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The completed form is required and will not count towards the page maximum.

**A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum seven-point penalty per SOQ.**

**Two-point penalty deductions:**

8. **Send SOQs to the Contract Administrator** – Send SOQs to the Contract Administrator. Do not send SOQs directly or indirectly to any known or presumed RFQ Selection Team members or other UDOT personnel, see instructions on Page 3.
9. **PDF Submission** – SOQs are required to be submitted in PDF files. Unless specifically addressed in the RFQ, only one PDF will be accepted.

**A two-point penalty will be assessed by Consultant Services for each application violation of the above requirement(s) for a maximum four-point penalty per SOQ.**

**Disqualifications:**

10. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline. Refer to Page 3 for more information.
11. **Electronic (email) Submission** – Any SOQ not received in the appropriate PDF format via email (containing all of the sections in the order presented in Streamlined SOQ Sections on Page 12) to ~~Raeleen-Sanchez~~ **Devon Tonks** at [dtonksraeleen@utah.gov](mailto:dtonksraeleen@utah.gov).
12. **Cost Discussion** – Any SOQ received with any reference to costs. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project. Refer to Page 7 for further details.



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13. **Cover Page** – Any SOQ received without a Cover Page; without the Acknowledgement on the Cover Page; and/or with additional information. No additional back page is allowed. Refer to Page 13 for further details.
14. **Use of employees employed by another consultant** – Any SOQ received using employees currently employed by another consultant or presented as staff on two SOQs for the same advertisement. (This does not apply to a sub-consultant firm competing on one or more project teams.) Refer to Required Key Personnel Qualification on Page 8 for more information.
15. **Use of UDOT staff** – Any SOQ received with current or former UDOT employees as part of the proposed Project Team who were involved in the development of the RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.
16. **Financial Screening** – Any SOQ received from Consultants who are unable to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.
17. **Four (4) Page Maximum** – Any SOQ received with more than the maximum allowed pages. The Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum.

A page is defined as a single-sided 8.5" x 11" sized page that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

18. **Other** – UDOT reserves the right to disqualify an SOQ when the intent of the RFQ process is violated.

**Any SOQs committing violations to the above format requirements will be considered non-responsive and will be disqualified by Consultant Services.**

Streamlined RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive SOQ submitted. They will review and score the SOQs individually based on the evaluation criteria and submit their scores and comments to the Contract Administrator. The Contract Administrator will tally and compile the scores and comments.

The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the SOQs. Final SOQ score results are the average of voting RFQ Selection Team members' scores.

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Most Streamlined RFQ selections will be based on the SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the Selection Team will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

Selection Interviews:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). See the form for more information regarding this process.

Consultant Debriefing:

UDOT has a consultant debriefing process. As part of the SOQ evaluation, RFQ Selection Teams may provide constructive criticism of the SOQs submitted for this project. Debriefing information will be distributed after the execution of the contract resulting from this selection.

Debriefing information consists of scores of the first-ranked firm’s proposal/interview and the scores, strengths and weaknesses of the consultant’s own proposal/interview.

The strengths identified in the highest-ranked firm’s proposal/interview will be available for review in-person at the Consultant Services division, along with the selected firm’s proposal, after the contract has been executed.

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Consultants are offered the opportunity to meet with the Contract Administrator for a formal debriefing after distribution of the above information.

Summary:

The SOQ should be clear, concise, and it should provide the RFQ Selection Team members with an understanding of the proposed Consultant Team's ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

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## Appendix B

### Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Proposed Role on Project	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all personnel proposed to work on this UDOT project, including sub-consultants. Add additional pages if needed.
- If the Project Team has a change in key personnel during the selection or negotiation process, the Consultant is required to submit notification in writing immediately to the UDOT Project Manager and the Consultant Services Administrator. If the Project Team has a change in **any** personnel after Notice to Proceed on a contract, the Consultant is required to immediately request a modification to the contract or a CMS Alternative Staff transaction. If UDOT does not approve the change, UDOT may request a revision to the proposal, revisit the selection process, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form are available on the UDOT Website [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

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## **Appendix C**

### **Background**

The Traffic Management Division (TMD) in cooperation with the four regions of the Utah Department of Transportation (UDOT) is responsible for the operations and maintenance of approximately 1200 UDOT traffic signals statewide. Most of the signalized intersections in Utah (1200 of the 1700) are owned and operated by UDOT. Most of the traffic signals in Utah (85%) are connected to a central traffic management system (We are in the process of converting our signal central system over from Siemens i2 to Intelight MaxView and anticipate that this will be complete February 2016). We also have 19 traffic signals running Sydney Coordinated Adaptive Traffic Signals (SCATS). Utah is unique to other places around the country where every city in Utah (that have traffic signals connected to a central system) all share the same central system, communications infrastructure and Advanced Traffic Management Systems (ATMS). With this unified system, all agencies in Utah work together in collaboration to better meet the needs of the traveling public.

It is UDOT's desire to elevate the operations and maintenance of UDOT's traffic signals towards a world-class level and to work together with our signal partners from other agencies in providing seamless transportation (transit, vehicles, cyclists, pedestrians, commercial vehicles, etc.) through signals with the primary operational objective being smooth and equitable flow of traffic. UDOT re-organized internally in 2011 to a matrix organization that combines the traffic signal operations and maintenance groups. In each region resides a traffic signal engineer (region 3 and 4 share a signal engineer) who reports directly to the TMD and also reports to the regions. The region signal engineers oversee signal operations and maintenance activities in the four UDOT regions. The TMD also has a staff of statewide signal engineers who oversee the signal operations on a state-wide level and who work collaboratively with the region signal engineers in providing signal operations statewide.

The TMD is seeking consultant(s) with traffic signal timing and operations experience, to assist UDOT statewide with traffic signal operations support. Consultant support is integral to UDOT's push toward world-class operation. Consultants hired under this contract will be expected to work closely in person with UDOT signal engineers and staff. The contract will be unit price and may result in multiple awards to two separate consulting firms. Each contract will be for a one-year period with the option to extend an additional four years. It is estimated that each contract will provide approximately 1200 to 1800 hours of support. All work will be supervised by a licensed Professional Engineer in the State of Utah. The consultants will report directly to the statewide signal engineers who will manage most of the task items. However, the consultant may provide some support directly to the region signal engineers as needed. Various assignments will be requested geographically statewide as needed, as requested by the project manager; however it is anticipated that most of the assignments will be along the Wasatch Front between Santaquin and Logan. The selected consultants do not need to provide all the skills for all of the tasks. Depending

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on the capabilities and talents of the consultants selected, task items will be appropriately assigned as needed by the UDOT Project Manager.

In the event one firm is required to prepare any plan sets, the other firm will review the plans to ensure no real or perceived conflict of interest exists in the work under contracts issued from this RFQ Selection.

**Scope of Work**

The Traffic Signal Operations Consultant will be expected to provide a wide variety of services to support traffic signal operations at UDOT-owned traffic signals. Occasionally, support may be requested in assisting some of our signal partners from other agencies. A great majority of the assignments will be focused on improving traffic signal operations and will most likely involve developing and implementing new signal coordination timing plans for normal time-of-day operations, incident management and special events; assisting UDOT with routine timing evaluations; construction timing support; and assistance implementing and troubleshooting automated traffic signal performance measures (SPMs) (<http://udottraffic.utah.gov/signalperformancemetrics/>). Other duties will be assigned as needed and are anticipated to be minor tasks, such as assisting with innovative signal phasing operations; traffic adaptive technologies; special event field support; troubleshooting complaints; Government Records Access and Management Act (GRAMA) assistance; asset management inventory; plan reviews, training, and other assignments as requested by the project manager. All task items will only be performed as requested by the UDOT Project Manager.

**1) Data Collection**

- a) Traffic Data and Measures of Effectiveness (MOE's) - Collect turning movement counts, travel-time runs, delay studies and other data as needed.
  - i) Deliverables: Provide results and information gathered before and/or after the timing effort to the UDOT Project Manager within one week of the beginning and completion of the project in electronic format.

**2) Signal Timing Plans**

- a) Development of Signal Timing Plans - Develop signal timing plans. These timing plans may include: Daily TOD plans, incident management plans, Holiday plans, late night and weekend plans, special event plans, snow / inclement weather plans, construction plans, or other plans. All signal timing plans will be reviewed and approved by the UDOT PM prior to progressing to steps 2b-2c. Synchro (version 6 or higher) is the preferred choice of modeling software at UDOT for signal timing plan development in most situations, however we are transitioning away from using modeling programs and focusing our retiming efforts using SPM data. If Version 9 is used, files will be sent to UDOT electronically in Synchro 8 format. The consultant is encouraged to work closely with the UDOT Project Manager during plan development to ensure project efficiency and compliance with UDOT practices and standards.
  - i) Deliverables:
    - If used, signal modeling files for review within:

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- < 5 signals – 3 weeks of request
  - 5 to 10 signals – 5 weeks of request
  - 11 to 20 signals – 7 weeks of request
  - 20+ signals – as agreed upon between both parties
  - Draft coordination memo (described in 2.c)i) below) at the same time as modeling files
- b) Coordination Plan Programming into Signal Controllers – Install the new signal timing plans into the controller (either in the field at the controller or at the TOC using the central system), or the Project Manager may have other personnel complete the work. The new plans will follow UDOT's plan number convention. Removal of old plans may also be requested by the UDOT Project Manager.
  - i) Deliverables: Plans installed in controllers within 1 week of request
- c) Coordination Plan Field Fine-Tuning – Fine-tune the new signal timing plans in the field and/or to use real-time performance measures, such as the Purdue Coordination Diagrams, Split Monitor or other real-time metrics for fine-tuning assistance.
  - i) Deliverables:
    - 1-20 signals – Signals fine-tuned within 3 weeks of plan implementation
    - 20+ signals – Completion date as agreed upon by both parties
    - Coordination memo describing the data collection, modeling processes, coordination details and SPM's used, including time-of-day plans, cycle lengths, coordination theory, and other recommendations or suggestions. Due within 1 week of fine-tuning completion.
- d) Special Event Field Support / Fine-Tuning – As needed, provide field support for special events to optimize traffic flow.
  - i) Deliverables:
    - Provide field support as requested by the Project Manager within two weeks' notice
    - Email or memo to Project Manager describing event traffic issues and signal operation
- e) Construction Timing Field Support / Fine-Tuning – As needed, provide field support construction timing to optimize traffic flow.
  - i) Deliverables:
    - Provide field support as requested by the Project Manager within 3 days' notice.
    - Email or memo to Project Manager describing construction traffic issues and signal operation
- f) Signal Timing Optimization –Optimize the signal timing parameters for efficiency and safety. This may include evaluating and optimizing: pedestrian timing; yellows and red clearance intervals; vehicle extension / passage time; minimum / maximum greens; volume density; actuated / coordinated; etc.
  - i) Deliverables:

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- 1-20 signals – Signals optimized within 3 weeks of request
  - 20+ signals – Completion date as agreed upon by both parties
- 3) Routine Maintenance for Signal Timing and Operations
- a) Routine Maintenance Evaluations – Perform signal timing routine maintenance at signalized intersections using the most recent “UDOT Signal Timing Routine Maintenance” evaluation form.
- i) Deliverables:
- 1-10 signals – Evaluations complete and delivered to the Project Manager within 3 weeks of request
  - 11-20 signals – Evaluations complete and delivered to the Project Manager within 6 weeks of request
  - 21+ signals – Evaluations complete as agreed upon by both parties.
- 4) Field Work & SPM Support
- a) Controller, Detector and MMU Firmware Upgrades – Upgrade controller, detector and/or MMU firmware to the version approved and recommended by UDOT.
- i) Deliverables:
- 1-10 intersections – within 2 weeks of request
  - 10-20 intersections – within 4 weeks of request
  - 20+ signals - schedule as agreed upon by both parties
- b) Integrating Communications to Traffic Signal Controllers and Detection – Install and integrate the necessary communication devices to controllers and detection. This assignment will also involve working collaboratively with the network administrator and others at UDOT in insuring correct communications and as-builts are updated.
- i) Deliverables:
- 1-5 intersections – within 3 weeks of request
  - 6-10 intersections – within 6 weeks of request
  - 10+ intersections – schedule as agreed upon by both parties
- c) Setup, Configure and Calibrate SPM's – UDOT is working diligently in integrating automatic performance measures and the website is at: <http://udottraffic.utah.gov/signalperformancemetrics/>. This work may involve setting up and assigning the detection correctly for the various performance measures; upgrading controller/detector firmware; troubleshooting / integrating the performance measures on the system; fine-tuning / quality control.
- i) Deliverables:
- Completion date and documentation as agreed upon by both parties
- 5) Complaint Response and Resolution
- a) Investigate and Troubleshoot Complaints - Respond to traffic signal timing / coordination complaints and provide feedback / resolution to the Project Manager within 5 working days.



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- 6) Innovative Traffic Signal Phasing Support
- a) Special signal control strategies – Unique signal configurations, such as Continuous Flow Interchanges (CFI's); Diverging Diamond Interchanges (DDI's); Single Point Urban Interchanges (SPUI's); Thru-Turn Intersections; and other non-standard phasing intersections require innovative phasing and timing sequences for efficient and safe operations. Depending on the capability of the consultant, assistance may be requested to support UDOT with these innovative signals. Such support may include development, testing, implementation, and/or monitoring/assessment of special signal control strategies.
- i) Deliverables:
- Completion date and documentation as agreed upon by both parties.
- b) Develop / optimize timing plans at unique/innovative intersections – Develop and optimize signal timing plans at unique innovative intersections. If necessary, the appropriate modeling software will be determined by the UDOT Project Manager. This may involve providing field fine-tuning and support.
- i) Deliverables:
- Completion within 3 weeks of the request.
  - Documentation and controller databases provided in electronic format to project manager
- 7) Traffic Adaptive Support
- a) Support UDOT with traffic adaptive signal technologies. This may include support on SCATS, and other future adaptive technologies the department uses.
- i) Deliverables:
- Scope and schedule as agreed upon by both parties.
- 8) GRAMA Assistance and Preparation
- a) GRAMA Request – The region signal engineers (through the project managers) may request assistance in preparing reports or collecting data for GRAMA requests. This work may involve collecting controller timing information; retrieving log book files; retrieving archived central system controller information; and preparation of reports written for the region signal engineer.
- i) Deliverables:
- All documentation and report submitted to the region signal engineer and project manager within 5 working days of the request.
- 9) Asset Management Collection and Support
- a) Asset Management Inventory – Collect and update various data, such as signal location, equipment inventory, detector type, and other items in the Asset Management Database provided by UDOT.
- i) Deliverables:
- 1-10 intersections – within two weeks of request
  - 11-20 intersections – within four weeks of request
  - 10+ intersections – as agreed upon by both parties

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10) Training

- a) Provide one-on-one training with others – Train others as requested.
- b) Provide classroom training – More formal training requests may be made as needed.
  - i) Deliverables:
    - Provide one-on-one informal training within two weeks of the request.
    - Provide more formal classroom training within 4 weeks of the request.

11) Work Schedule

- a) Work will be performed as needed from Notice-to-Proceed until the contract expiration. The contract is unit price and is a one-year contract (with the option to extend an additional four years).
- b) Some of tasks may involve late nights and weekends as needed for special event or construction support. The UDOT Project Manager will provide advance notice when such support is required. There will be no adjustment in billable rate for this work.

12) Policy Guidelines

- a) This contract shall adhere to the UDOT policies and guidelines. These shall include, but not be limited to the following:
  - i) Conform to all relevant State of Utah personnel policies related to use of State buildings; use of State computer equipment; use of State office equipment; access to confidential state records; substance abuse; safety regulations; and sexual and racial harassment.
  - ii) Conform to all policies applicable to all employees of the UDOT Traffic Operations Center including access to the building and building security, dress code policies, parking, and use of closed-circuit television images.
  - iii) Conform to all UDOT guidelines and policies relating to the timing, coordination, and maintenance of traffic signals.
  - iv) Invoicing will be completed monthly to the UDOT Project Manager. The consultant will keep track of a cost build up and number of hours worked for each task and each signal timing project.

13) Work Quality

- a) The consultants shall perform training and skills assessment for staff assigned to this project, and shall establish and follow appropriate Quality Control/Quality Assurance procedures. Overall performance will be evaluated quarterly with the UDOT Project Manager based on performance measures established at the beginning of the contract.

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## **Appendix D**

### **Additional Information**

#### **QC/QA Plan Requirements:**

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site [www.udot.utah.gov/go/qcqa](http://www.udot.utah.gov/go/qcqa)
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

#### **UDOT Reference Items:**

- UDOT CADD use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction is available online at the UDOT Web site [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction is available on-line at the UDOT Web site [www.udot.utah.gov/go/CSManuals](http://www.udot.utah.gov/go/CSManuals).
- UDOT Drainage Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- Other UDOT manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Project Delivery Networks is available on-line from the UDOT web site at [www.udot.utah.gov/go/ProjectManagement](http://www.udot.utah.gov/go/ProjectManagement).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Reference Material is available on-line from the UDOT Web site at [www.udot.utah.gov/go/StandardsReferences](http://www.udot.utah.gov/go/StandardsReferences).

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- UDOT Right of Way Design and Operations Manuals are available on-line from the UDOT Web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Roadway Design Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Standards are available on-line from the UDOT Web site at [www.udot.utah.gov/go/2012Standards](http://www.udot.utah.gov/go/2012Standards).
- UDOT 2015 Strategic Direction & Performance Measures are available on-line from the UDOT web site at [www.udot.utah.gov/go/StrategicDirection](http://www.udot.utah.gov/go/StrategicDirection).
- UDOT Structures Design and Detailing Manual and the Bridge Management Manual are available on-line from the UDOT web site at [www.udot.utah.gov/go/STRManuals](http://www.udot.utah.gov/go/STRManuals)).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/HighwaySignPolicy](http://www.udot.utah.gov/go/HighwaySignPolicy).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>.

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The Brooks Act of 1972:  
Federal Government Selection of Architects and Engineers

**United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works**

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

**§ 1101. Policy** (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

**§ 1102. Definitions** (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
  - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
  - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
  - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

**§ 1103. Selection procedure** (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

**§ 1104. Negotiation of contract** (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.